

Practitioner's Docket No. U 014820-6

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

Inventor(s)

for

Title of invention

OR

In re application of: TSUYOSHI SANO, et al

Serial No.: 10/664,416

Filed: SEPTEMBER 17, 2003

For: INK COMPOSITION AND METHOD OF RECORDING A RECORDING MEDIUM  
USING THIS

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))**

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

**37 C.F.R. 1.8(a)**

with sufficient postage as first class mail.

**TRANSMISSION**

transmitted by facsimile to the Patent and Trademark Office.

**37 C.F.R. 1.10\***

as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

Signature  
Clifford J. Mass  
(Type or print name of person certifying)

Date: November 7, 2003

\* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

**NOTE:** 37 C.F.R. 1.98(b):

- (1) *Each U.S. patent listed in an information disclosure statement must be identified by inventor, patent number, and issue date.*
- (2) *Each U.S. patent application published listed in an information disclosure statement shall be identified by applicant, patent application publication number, and publication date.*
- (3) *Each U.S. application listed in an information disclosure statement must be identified by the inventor, application number, and filing date.*
- (4) *Each foreign patent or published foreign patent application listed in an information disclosure statement must be identified by the country or patent office which issued the patent or published the application, an appropriate document number, and the publication date indicated on the patent or published application.*
- (5) *Each publication listed in an information disclosure statement must be identified by publisher, author (if any), title, relevant pages of the publication, date, and place of publication.*

**WARNING:** No extension of time can be had under 37 C.F.R. § 1.36 (a) or (b) for filing an IDS. 37 C.F.R. § 1.97(j).

**NOTE:** The "filing date of a national application" under 37 C.F.R. 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 C.F.R. 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 C.F.R. 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 C.F.R. 1.97(b)(2).

## **IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. 1.97(b).

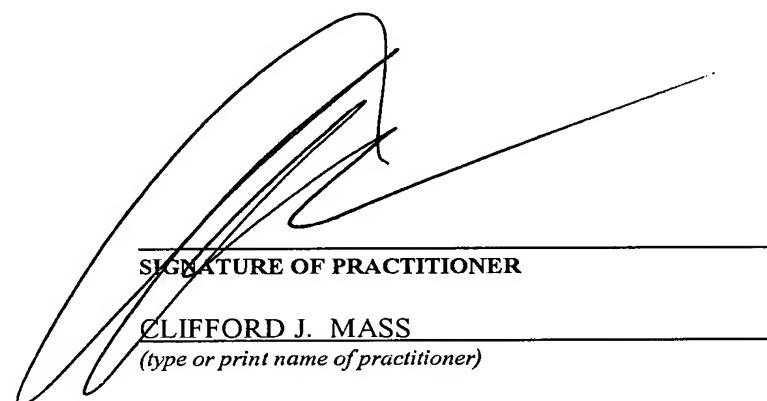
**NOTE:** "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing."

**NOTE:** "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 C.F.R. 1.8, or Express Mail certificate under 37 C.F.R. 1.10. An office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**NOTE:** "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**NOTE:** "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 C.F.R. 1.142) or just a requirement for additional fees to have a claim considered (37 C.F.R. 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

**WARNING:** "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 C.F.R. 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).



SIGNATURE OF PRACTITIONER

Reg. No. 30,086

Tel. No.: (212)708-1890

Customer No.: 00140

CLIFFORD J. MASS

(type or print name of practitioner)

LADAS & PARRY

P.O. Address

26 WEST 61<sup>ST</sup> STREET

NEW YORK, N.Y. 10023



Practitioner's Docket No. U 014820-6

**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: TSUYOSHI SANO, et al

Serial No.: 10/664,416

Filed: SEPTEMBER 17, 2003

For: INK COMPOSITION AND METHOD OF RECORDING A RECORDING MEDIUM  
USING THIS

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

We draw the attention of the Examiner to the references listed on the attached Form PTO-1449. Copies of the references are not required, except for JP 8-113739; 8-283631; 11-12508; 10-120950; 7-125220; 10-287837 and 11-228898 and their English translation because they were filed in a U.S. application from which an earlier filing date is claimed in this application.

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

**37 C.F.R. 1.8(a)**

**37 C.F.R. 1.10\***

with sufficient postage as first class mail.

as "Express Mail Post Office to Address"  
Mailing Label No. \_\_\_\_\_  
(mandatory)

**TRANSMISSION**

transmitted by facsimile to the Patent and Trademark Office.

Date: November 7, 2003

Signature

Clifford J. Mass

*(Type or print name of person certifying)*

\*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

Respectfully submitted,

CLIFFORD J. MASS  
LADAS & PARRY  
26 WEST 61<sup>ST</sup> STREET  
NEW YORK, NEW YORK 10023  
REG.NO.30,086(212)708-1890

FORM PTO-1449

U. S DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE

## STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO. U 014820-6SERIAL NO. 10/664,416

APPLICANT

TSUYOSHI SANO, et alFILING DATE SEPTEMBER 17, 2003

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA	US-6,440,203	08/2002	KATO, SHINICHI	
	AB	US-6,436,179	08/2002	HIRAOKA ET AL	
	AC	US-6,447,592	09/2002	TANIGUCHI, MAKOTO	
	AD	US-6,454,844	09/2002	KANAYA, MIHARU	
	AE	US-6,454,845	09/2002	SHAWCROSS, ET AL	
	AF	US-6,432,186	08/2002	TANIGUCHI, MAKOTO	
	AG	US-6,419,733	07/2002	SANO ET AL	
	AH	US-5,985,015	11/1999	KANAYA, MIHARU	
	AI	US-5,968,244	10/1999	UEDA ET AL	
	AJ	US-6,284,029	09/2001	SANO ET AL	
	AK	US-6,453,001	11/2000	SUZUKI ET AL	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
	AL 0 872 344	10/1998	EP		
	AM 0 651 037	05/1995	EP		
	AN 0 838 508	04/1998	EP		
	AO 2000-290559	10/2000	JP		X
	AP 0 959 111	11/1999	EP		

## OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

AR	PATENT ABSTRACTS OF JAPAN OF JP 2000-290559 (10/2000) AND COMPUTER GENERATED ENGLISH TRANSLATION
AS	PATENT ABSTRACTS OF JAPAN PUBLICATION NUMBER 571078848 A DATED JULY 5, 1982
AT	PATENT ABSTRACTS OF JAPAN PUBLICATION NUMBER 05059314 A DATED MARCH 9, 1993

## EXAMINER

## DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U. S DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

NOV 12 2003

(Use several sheets if necessary)

ATTY. DOCKET NO. SERIAL NO.

U 014820-6 10/664,416

APPLICANT

TSUYOSHI SANO, et al

FILING DATE GROUP

SEPTEMBER 17, 2003

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA	US-5,948,154	09/1999	HAYAHI ET AL	
	AB	US-6,030,441	02/2000	KUBOTA ET AL	
	AC	US-6,132,502	10/2000	YATAKE, MASAHIRO	
	AD	US-6,004,389	12/1999	YATAKE, MASAHIRO	
	AE	US-5,616,174	04/1997	KANAYA ET AL	
	AF	US-6,277,184	08/2001	KATO, SHINICHI	
	AG	US-5,935,309	08/1999	MOFFATT ET AL	
	AH	US-5,560,770	10/1996	YATAKE, MASAHIRO	
	AI	US-5,830,264	11/1998	FUJIOKA ET AL	
	AJ	US-2002/0002930	02/1999	YAMASHITA ET AL	
	AK	US-6,080,229	06/2000	WATANABE ET AL	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
	AL	57107848	7/1982	JP	X
	AM	559314	3/1993	JP	X
	AN	6107971	4/1994	JP	X
	AO	6106735	4/1994	JP	X
	AP	7125220	5/1995	JP	X

## OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

	AR	PATENT ABSTRACTS OF JAPAN PUBLICATION NUMBER 06107971 A DATED APRIL 19, 1994
	AS	PATENT ABSTRACTS OF JAPAN PUBLICATION NUMBER 06106735 A DATED APRIL 19, 1994
	AT	PATENT ABSTRACTS OF JAPAN PUBLICATION NUMBER 07125220 A DATED MAY 16, 1995

## EXAMINER

## DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U. S DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO. SERIAL NO.U 014820-6 10/664,416APPLICANTTSUYOSHI SANO, et alFILING DATE GROUPSEPTEMBER 17, 2003

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	FILING DATE IF APPROPRIATE
	AA				

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
				YES	NO
	AB	8-113739	5/1996	JP	
	AC	8-283631	10/1996	JP	
	AD	11-12508	1/1999	JP	
	AE	10-120950	5/1998	JP	
	AF	7-125220	5/1995	JP	
	AG	10-28737	10/1998	JP	
	AH	11-228898	8/1999	JP	

## OTHER ART (Including Author, Title, Date, Pertinent Dates, Etc.)

AI	ENGLISH TRANSLATION OF JP 8-113739 DATED MAY 7, 1996
AJ	ENGLISH TRANSLATION OF JP 8-283631 DATED OCTOBER 29, 1996
AK	ENGLISH TRANSLATION OF JP 11-12508 DATED JANUARY 19, 1999
AL	ENGLISH TRANSLATION OF JP 10-120950 DATED MAY 12, 1998
AM	ENGLISH TRANSLATION OF JP 7-125220 DATED MAY 16, 1995
AN	ENGLISH TRANSLATION OF JP 10-28737 DATED OCTOBER 27, 1998
AO	ENGLISH TRANSLATION OF JP 11-228898 DATED AUGUST 24, 1999

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.